

Dennis V. Edwards

Notice of Intent to Invoke Administrative Sanctions

Date: January 27, 2004

Respondents: Dennis V. Edwards of Lee's Summit, Missouri

Notice of Intent to Invoke Administrative Sanctions under the Kansas Securities Act issued to respondent for allegedly engaging in dishonest or unethical conduct by failing to abide by client's demands to refrain from selling certain securities, and for attempting to physically prevent client from discovering the unauthorized sale. Further, respondent allegedly engaged in business in Kansas as an investment adviser without being registered with the Office of the Kansas Securities Commissioner.

Order to Impose Administrative Sanctions

Date: March 3, 2004

Respondents: Dennis V. Edwards of Lee's Summit, Missouri

Upon failing to contest the allegations set forth in the Notice of Intent to Invoke Administrative Sanctions under the Kansas Securities Act issued to respondent on January 27, 2004, the Commissioner has adopted the allegations of fact and law as true and correct. Further, the Commissioner has ordered that: respondent immediately Cease and Desist from transacting business in the state of Kansas as a broker- dealer, that the respondent pay a Fine of \$3500, and that respondent be Barred from association with any broker- dealer or investment adviser registered in the state of Kansas.

Notice to Investors: If you are not a resident of Kansas and have been affected by actions that are similar to those described in this synopsis, you should consider contacting your state securities regulator for assistance. To locate your securities regulator, go to the [North American Securities Administrators Association](#) website. If you choose to contact your state securities regulator, please inform him or her of the action taken by the State of Kansas.